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AUTHOR Cuadra, Carlos A.; And Others
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ABSTRACT

Phase II involves a case-study analysis of 15 selected consortia to help determine the usefulness and effectiveness of academic library consortia. The two major products resulting from the project are the "Directory of Academic Library Consortia" and the "Guidelines for the Development of Academic Library Consortia." The Phase II report presents the summary for both the Phase I and Phase II activities and findings, the survey findings, and the dissemination of the findings. (MM)

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TECHNICAL MEMORANDUM

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FINAL REPORT ON PHASE II
STUDY OF ACADEMIC LIBRARY CONSORTIA

Carlos A. Cuadra
Diana D. DeLanoy
Ruth J. Patrick
Kean Mantius

November 15, 1971

SYSTEM DEVELOPMENT CORPORATION
2500 COLORADO AVE.
SANTA MONICA
CALIFORNIA
90406

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I. INTRODUCTION

This is the final report on Phase II of a study of library consortia in higher education. The study was sponsored by the U. S. Office of Education and conducted by System Development Corporation. This report, which covers Phase II activities from 16 July 1971 to 31 October 1971, is the last of a series of four formal reports:

- Phase I Progress Report on Study of Academic Library Consortia (TM-4597/000/00); submitted to USOE on 10 August 1970.
- Phase II Progress Report on Study of Academic Library Consortia (TM-4597/001/00); submitted to USOE on 5 August 1971.
- Phase I Final Report on Study of Academic Library Consortia (TM-4597/002/00) accompanied by Directory of Academic Library Consortia (TM-4597/003/00); submitted to USOE on 14 October 1971.
- Final Report on Phase II Study of Academic Library Consortia (TM-4597/004/00--this document) accompanied by Guidelines for the Development of Academic Library Consortia (TM-4597/005/00).

This report supplements and largely supersedes the three previously submitted project reports. The reader may wish to refer to the Phase I Progress and Final Reports for details of the questionnaire surveys and Directory production and to the Phase II Progress Report for a review of the case study interviews.

The two phases of the study have involved: 1) a questionnaire study to identify all academic library consortia and to describe and define their activities; and 2) a case-study analysis of 15 selected consortia to help determine the usefulness and effectiveness of academic library consortia. The two major products resulting from the project are the Directory of

Academic Library Consortia (the Table of Contents is included as Appendix A to this document) and the Guidelines for the Development of Academic Library Consortia, submitted with this document (the Abstract and Table of Contents are included as Appendix B to this report.)

The schedules of Phase I and II project activities included in previous project reports, are presented as Figure 1.

TASKS	1971 Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Data Collection									
5. Mail Q1	—								
6. Follow-up of Q1		—							
7. Mail Q2			—						
8. Follow-up of Q2 (includes telephone follow-up)			—	—	—				
Data Organization and Analysis									
9. Inspection and Preparation for Machine Input			—	—	—				
10. Keyboarding				—	—				
11. Analysis					—	—			
Preparation of Directory									
12. Confirm Content and Form					—	—			
13. Prepare Directory						—	—	▲ Final Report Phase I	
1. Case-Study Data Collection					—	—	—		
2. Case-Study Reporting					—	—	—		
3. Description of Consortium Characteristics						—	—	—	—
4. Development of Model and Guidelines							—	—	—
5. Preparation of Final Report									—
							▲ Progress Report Phase II		▲ Final Report Phase II

Scheduled ——

Note: Project began 15 March 1970. Tasks completed prior to this revision and not reflected on this schedule are:

Initial Planning
Developing the Survey Plan
Developing the Survey Instruments
Developing the Site Visit Checklist

Figure 1. Revised Schedule for SDC Study of Academic Library Consortia

II. SUMMARY OF PHASE I ACTIVITIES AND FINDINGS

Phase I involved the design and administration of two questionnaires. The first questionnaire was directed to 2600 colleges and universities throughout the continental United States to identify existing academic library consortia to which the institutions belong. The first questionnaire was mailed out in February 1971, followed up by a second mailing, and was fully processed by the middle of May. From this first survey, 409 cooperatives were identified as possible acadamic library consortia. Without more information as to membership and activities, it was difficult to determine which groups fell within the academic scope of our survey. Therefore, to ensure that all bona fide academic library consortia would be included in the second survey, a second questionnaire--directed to consortia headquarters--was sent to each of the 409 groups.

During the screening process of the second questionnaire we found it necessary to define clearly the scope of "academic library consortium" in order to make the necessary decisions on directory content. To ensure compliance with original USOE intentions for the scope of the study, we developed a set of criteria for inclusion and obtained concurrence on the criteria from USOE. The criteria selected are listed below.

1. The participating institutions must be autonomous, that is, they must report to separate Boards of Regents or other separate, higher level governing body agencies.

2. The consortium membership population must contain a preponderance (50 percent or more) of academic library membership.

3. The consortium stage of development must be solidified beyond the early talking or exploratory stages. The group must have decided that, indeed, it is a cooperative entity and is at least planning joint activities.

4. The consortium must be organized to pursue activities or services that are of benefit to the academic participants involved.

5. There must be two or more libraries involved with activites extending beyond traditional interlibrary loan, as defined by ALA rules.

6. If the library as a group is part of a higher level, multipurpose higher education consortium, one component must be a defined library committee with goals of improved library services.

The major finding from Phase I--other than the range of academic library consortia activities and membership statistics reported in the Directory--was that, in addition to consortia defined as academic, there are many other kinds of cooperatives of potential interest to the library community. For example, there are cooperative activites among the multiple campuses of single institutions, there are cooperatives that include a preponderance of special and public libraries in addition to academic libraries, and there are cooperatives that do not have academic libraries among the membership mix.

Regardless of the kinds of libraries composing the membership, the goals and objectives remain for the most part the same as those of academic library consortia. Two fairly typical sets of objectives are listed below:

1.
- Assist member libraries in the selection of materials.
- Purchase, catalog, and process library materials.
- Coordinate cooperative acquisitions, interlibrary loans, and the reproduction of materials for the member libraries.
- Promote the development of programs for the expanded use of library resources.
- Stimulate the improvement of library facilities and services.
- Cooperate in the development of library personnel.

2. • Provide, through cooperative acquisition by voluntary agreement, materials beyond the reach of the individual libraries.
   • Achieve economies in the use of resources, both human and material.
   • Facilitate sharing of materials among members of the group.

The Directory of Academic Library Consortia that was produced from this study has played a large part in identifying and describing the range of consortia existing in the U. S. today. We strongly recommend that a second directory be produced that identifies and describes (by type) the remaining major library cooperatives that have academic libraries as members--so that the two books together identify the universe of academic library consortia including network activities among academic and other kinds of libraries.

In comparing the cooperative activities considered "most desirable" by consortium members and nonmembers with actual consortium activities being undertaken (and reported in the Directory), we found a high degree of correspondence. The consortia are apparently being responsive to the proposed needs of the participating libraries.

Table 1 illustrates this correspondence.

TABLE 1. RANKED SERVICES DESIRED FROM CONSORTIUM MEMBERSHIP

SERVICES	RANKING IN ORDER OF DESIRABILITY TO MEMBERS	TO NONMEMBERS
Reciprocal Borrowing Privileges	1	1
Cataloging Services	2	7
Production and Maintenance of Union Lists and Directories	3	2
Acquisitions	4	5
Unrestricted Interlibrary Loans	5	4
Reference Services	6	8
Microfilming	7	11
Special Communications Services (e.g., Teletype, Telefacsimile, or Tel-Autograph)	8	6
Photocopying Service	9	9
Storage of Little-Used Materials	10	12
User Orientation Programs	11	10
Clearinghouse (e.g., for Gifts, Exchanges, or Language Translations)	12	3
Personnel Training and Upgrading	13	16
Joint Research Projects (e.g., Automation)	14	13
Bindery Service	15	18
Delivery Services	16	15
Publication Program (e.g., Bibliography of Special Collection)	17	17
Recruitment Programs	18	19
Operation of a Bibliographic Center	19	14

III. SUMMARY OF PHASE II ACTIVITIES

A. TASK 1: CASE-STUDY DATA COLLECTION

1. Planning

Two major activities were associated with the selection of and preparation for the 15 consortia to be visited. The first activity involved the design and testing of an unstructured interview guide--the field site visit checklist. The purpose of the checklist was to ensure the efficiency of the data gathering activity by promoting reply to all the questions for which information was needed. The second activity was the analysis and selection of the 15 consortia.

The checklist--included as Attachment 4 to the Phase II Progress report of the study--was designed in two parts: one directed to the consortium headquarters and the other to member libraries. Early in the project initial draft versions of the checklist and questionnaires were designed and pretested by project staff in multiple field site situations.

Persons visited were:

Dr. Alan Ferguson, Director, New England Board of Higher Education (NEBHE)

Mr. Merle Boyland and Mr. James Kennedy, University of Massachusetts, Amherst

Mr. Sam Goldstein, former Director, NELINET (New England Library Information Network)

Mr. William Nugent and Mr. Lawrence Buckland, Inforonics, Inc., Maynard, Massachusetts

Mr. Donald Vincent, Librarian, University of New Hanpshire, Durham, (NELINET member)

Mr. Witold Sworakowski, Hoover Institution, Stanford University, executive secretary of the Consortium of Western Colleges and Universities

Mr. Lewis Patterson, Program Director, KCRCHE (Kansas City Regional Council for Higher Education)

Mr. Harold Smith, Librarian, KCRCHE

Mr. Frederick Kilgour, Director, OCLC (Ohio College Library Center)

Dr. Louis C. Branscomb, Director of the Board of Trustees, (OCLC)

Mr. Dale Shaffer, Librarian, Capitol University (OCLC member)

Sister Stella Spangler, Librarian, Eastern Ohio Dominican College (OCLC member)

Brother Nartker, Librarian, University of Dayton (OCLC member and Dayton-Miami Valley Consortium member)

Mr. Jim Dodson, Librarian, Wright Stage University (OCLC member and Dayton-Miami Valley Consortium member)

Darrell H. Lemke, Coordinator of Library Programs, Consortium of Universities, Washington, D. C.

As previously reported all of the discussions were productive and helpful in highlighting considerations important both for refining the context of the field site visit checklist and for developing the structure of the guidelines document. Enough data were collected during these interviews that NELINET, KCRCHE, OCLC and Dayton-Miami did not need to be revisited; any further specific questions to these consortia were handled by telephone.

In refining the checklist we were able to determine the preferred sequence for asking questions, and to devise a format suitable for notetaking. It was initially planned to have our project consultants review and comment on the field site visit checklist. However, since the checklist proved adequate with only a few minor changes, it seemed more propitious in terms of time and benefit to the project to have them review a draft of the guidelines. The USOE project monitor and the consultants were contacted, and all agreed to the change.

The checklist design activity also enabled us to isolate the variables and factors of interest in selecting consortia to visit. They included but were not limited to:

- Breadth and scope of the consortium's purpose and objectives
- Existence of centralized headquarters
- Number of members
- Geographic distance between participants
- Membership in multipurpose higher education consortia
- Amount, source and stability of funding
- Homogeneity of participating libraries, e.g., with respect to type and size
- Length of existence
- Kinds of agreements and rules for participation
- Current mix of planned and operating activities
- Consortium staffing
- Consortium views on problems and recommended solutions
- Extent of direct services from the headquarters facility (if any)
- Extent of automation

2. Selection of 15 Consortia

It was important to us that the field site selections and majority of visits wait until the Phase I questionnaires were returned and interpreted in order to determine which groups would represent the broadest coverage of characteristics for study. After the questionnaires were returned, a detailed analysis of the characteristics of the various consortia was conducted, with the goal of selecting a set to be visited that would encompass the full range of objectives, operating philosophies and problems addressed by the study. A final group was selected by SDC, and approved by USOE:

Associated Colleges of Central Kansas
115 East Marlin
McPherson, Kansas 67460
Dr. Howard W. Johnston, Executive Director

Collection and Evaluation of Materials on Black Americans
Alabama A & M University
Huntsville, Alabama 35762
Winford Ashford, Coordinator

Colorado Academic Libraries Book Processing Center
Norlin Library
University of Colorado
Boulder, Colorado 80302
Joseph A. Hewitt, Coordinator

Common Library of the Graduate Theological Union
2451 Ridge Road
Berkeley, California 94709
J. Stillson Judah, Head Librarian

Consortium of Universities
1717 Massachusetts Avenue, N.W.
Washington, D.C. 20036
Darrell Lemke, Coordinator

Consortium of Western Colleges and Universities
Stanford University
Palo Alto, California 94305
Witold Sworakowski, Director

Dayton-Miami Valley Consortium Libraries
Antioch College
Library
Yellow Springs, Ohio 45387
Bruce Thomas, Chairman, Executive Committee

Five Associated University Libraries (FAUL)
106 Roney Lane
Syracuse, New York 13210
Glyn T. Evans, Coordinator of Library Systems

Kansas City Regional Council for Higher Education (KCRCHE)
4901 Main Street, Suite 320
Kansas City, Missouri 64112
Henry Halsted, Vice President

Mississippi Valley Libraries Cooperative Service
Lincoln University Library
Jefferson City, Missouri 65101
(Mrs.) Freddye C. Ashford, Acting University Librarian

New England Library Information Network (NELINET)
New England Board of Higher Education
20 Walnut Street
Wellesley, Massachusetts 02181
Ronald Miller, Director

New Hampshire College and University Council (NHCUC)
2321 Elm Street
Manchester, New Hampshire 03104
Steven Hillgard, Chairman, Library Committee

Northwest Association of Private Colleges and Universities (NAPCU)
5000 North Willamette Boulevard
Portland, Oregon 97203
Eric Schauer, Executive Director

Ohio College Library Center (OCLC)
1314 Kinnear Road
Columbus, Ohio 43212
Frederick G. Kilgour, Director

Tri-State College Library Cooperative
Holy Family College Library
Grant & Frankford Avenues
Philadelphia, Pennsylvania 19114
Sister M. Jane, CSFN, President

A comparative analysis of many consortia was made before this final set was decided upon. Statistics were extracted from questionnaires of the various respondents and characteristics were analyzed. The analytical methodology employed is reflected in Figure 2, which contains an initial cut at statistical inputs gleaned from the questionnaires received from the consortia to be visited. The consortia either visited or that were remaining to be visited are listed in abbreviated form on the left; the classes of data and the characteristics themselves are listed across the top. Note the multiple characteristics present: for example, groups with legal agreements both with and without rules for participation, and groups without legal agreements also with and without rules for participation. Also, one can see, in examining operational or planned activities, that most consortia have reciprocal borrowing, union lists, or expanded interlibrary loan. Furthermore, there is a close correlation between the activities of current consortia and the desired consortia activities of nonconsorting libraries. After taking these multiple characteristics into account in the selection process, we attempted to achieve a good geographical distribution across the United States. Locations of the consortia selected are shown in Figure 3. By examining the permutations of all characteristics communicated to us, we were able to select a set to study in depth that contained the fullest possible range available in a grouping of 15.

The interviews were carried out by a team of two librarian/systems analysts, or one librarian systems analyst with full tape-recorded backup. One day was usually spent at the consortium headquarters (if there was one), interviewing the director and members of the consortium staff; the following day was spent interviewing the library directors and other librarians at one or more member libraries. The kinds of people interviewed at any one consortium were a mix of the following:

- Director (or Coordinator) of the academic library consortium
- Director of the education consortium

- Faculty member who represented the librarians to the education consortium
- Chairman of the library consortium
- Director of the library consortium Board of Trustees
- Library directors (who were members of the consortium)
- Library directors (who had been members and who had withdrawn)
- Consortium staff
- Librarians (cataloguer, reference librarian, archivist, head of acquisitions of technical processing)
- Representative of the State Library

An attempt was made to interview individuals at any one consortium who were known to be disatisfied or especially critical of the consortium as well as those who were satisfied, in order to get as complete a view of all sides of the consortium as possible. The interviews varied in length from 1 to 4 1/2 hours; the total number of interviews was 58. (Of the librarian directors interviewed, three were members of more than one consortium.) Interview checklists were used to ensure that all areas of potential importance were covered in the interview.

To help obtain frank and candid comments from the interviewees, we indicated that no information will be specifically attributed to them without their express permission. All trip reports were kept confidential, and when examples were presented in the Guidelines, the source and consortium identity remained anonymous. It is appropriate, however, to summarize important highlights gained from the visits that contributed to the design and content of the Guidelines. For example, most consortia seem to be multipurpose rather than single purpose: consortia directors visited have felt that it is easier to develop a multipurpose consortium because a variety of activities can help keep it going. Size is important, since smaller groups permit a high degree of personal invovlement. With respect to members, there tend to be (1) accepting/non-critical members who are pleased with the situation, (2) critically accepting members, and (3) neutral members. No single pattern or path of development has been encountered.

	Member of Higher Level Consortium	Independent Entity	Type: City	Type: Region	Type: State	Type: Interstate	Area Served: Centralized HQ's	Area Served: Director, but no Centralized HQ's	Area Served: No HQ's, no Director	Objectives of Increased Service	Objectives of Improved Processing Costs and Service	Headquarters: Funding by Dues or Fees	Headquarters: Funding by Grants	Headquarters: Funding by Contributed Resources	Budget & Source: Funding Level (70/71)	Type of Agreement: Legal Agreement	Type of Agreement: Informal Agreement	Type of Agreement: Rules for Participation	Type of Agreement: No Rules for Participation	Computer Usage: Has Computer	Computer Usage: Uses Member Institution Computer	Computer Usage: Uses Service Bureau Facility	Computer Usage: 5 or Fewer Members	Computer Usage: 6-15 Members	Computer Usage: 16-30 Members	Computer Usage: Over 30 Members
1. NELINET	X					X	X			X	X	X			60K	X		X				X	5			
2. OCLC		X			X		X			X	X				600K	X		X		X						54
3. Dayton Miami Valley	X			X				X		X	X		X		75K	X		X						12		
4. Kansas City Reg. Council	X					X	X			X		1%	52%		X 37K	X			X						19	
5. Consortium of Western Colleges and Universities		X				X		X		X														11		
6. Colorado Academy Book Proc.		X			X		X				X	30%	70%		90K		X		X		X			12		
7. Northwest Assoc. of Priv. Colleges and Universities	X					X	X			X			100%		* 2.8K		X		X		X				27	
8. FAUL		X		X			X			X	X	X			50K	X		X			X		5			
9. New Hampshire College and University Council	X				X			X		X		70%	30%		20K	X		X			X			10		
10. Consortium of Universities of Washington, D.C.	X		X				X			X		X			35K		X*		X		X		5			
11. Common Library of the Graduate Theological Union	X		X					X		X		99%			1% 250K	X*		X*						9		
12. Tri-State College Library Cooperative		X				X		X		X	X	100%			varies	X		X							21	
13. Associated Colleges of Central Kansas	X			X			X			X		23%	77%		88K	X		X		X				6		
14. Mississippi Valley		X				X			X	X			100%		*		X		X		X		5			
15. Alabama Center for Higher Education (CEMBA)	X				X			X		X		10%	80%		135K		X		X					8		

NOTE: P = Planned Activity

(No. 5 incomplete, since Q2 has not been received.)

PT = Part time personnel

*NOTE: 7 budget decrease from 250K to 2.8K

10, 14, 15 not a separate library agreement

11 has penalty for withdrawal and is currently revising agreement

14 50K grant 69/70, 0 grant 70/71, 203K application 71/72

Figure 2. Academic Library Consortia Study Field S

| Agreement | | |

1. Northwest Association of Private Colleges and Universities □

2. Common Library of the Graduate Theological Union ■

3. Colorado Academic Libraries Book Processing Center ●

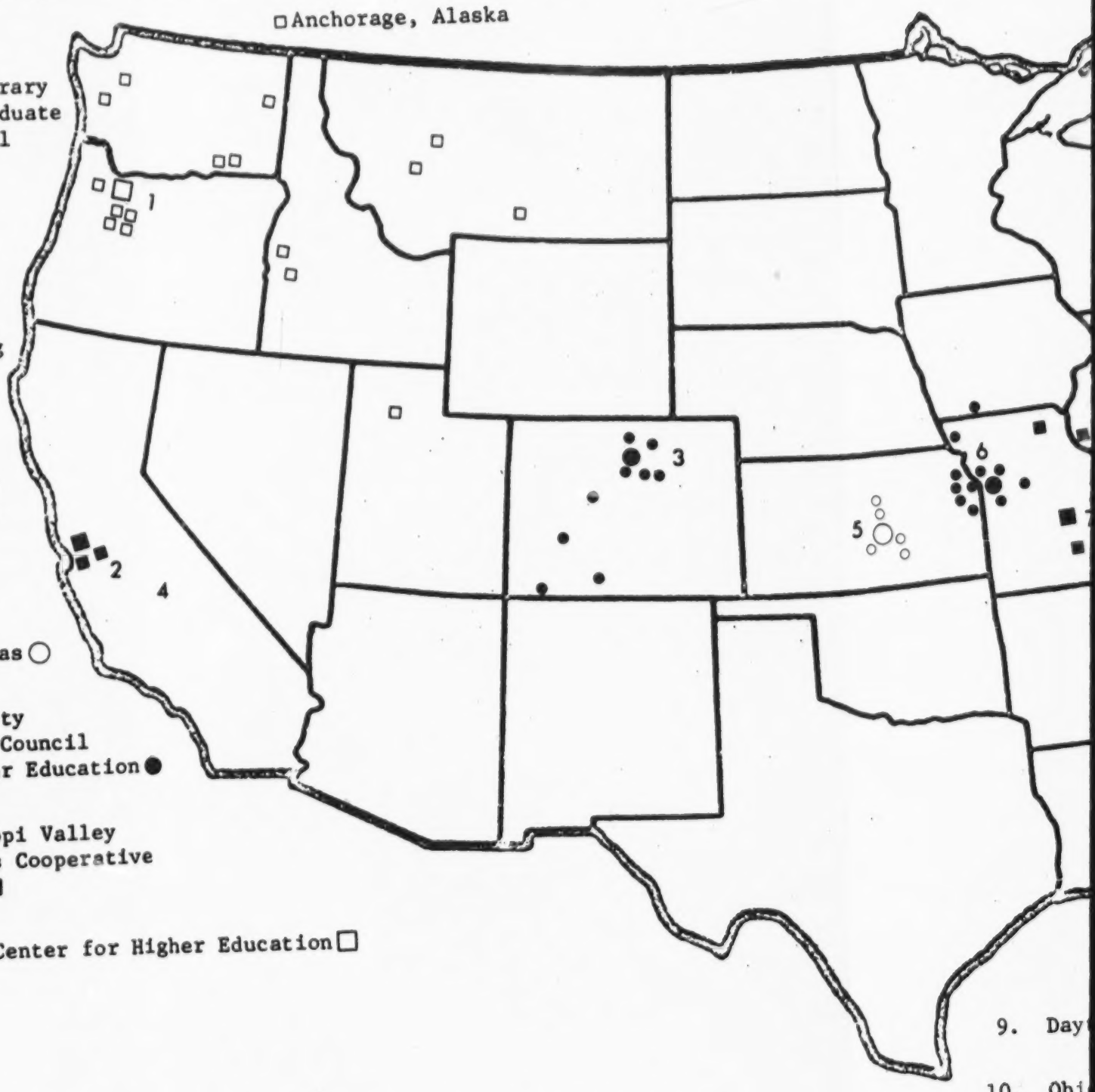
4. Consortium of Western Colleges and Universities (no data)

5. Associated Colleges of Central Kansas ○

6. Kansas City Regional Council for Higher Education ●

7. Mississippi Valley Libraries Cooperative Service ■

8. Alabama Center for Higher Education □



9. Day

10. Ohi

11. Con

12. Tri

Figure 3. Field Site Visit

13. New England Library Information Network □

14. New Hampshire College and University Council ●

15. Five Associated University Libraries ○

9. Dayton-Miami Valley Consortium ●

10. Ohio College Library Center ■

11. Consortium of Universities of the Washington Metropolitan Area ●

12. Tri-State College Library Cooperative ■

3. Field Site Visit Locations

B. TASK 2: CASE-STUDY REPORTING

As previously mentioned, the results of each case-study interview contributed valuable inputs to the description of consortium activities, reported in the guidelines report Chapter III, and to the consortium development. At the conclusion of each visit, the study team met and prepared an informal but complete written synthesis of each consortium visited. This synthesis included:

1. Assurance that a clear view of each development step and all of its characteristics were present.
2. Determination of how that visit modified or expanded our preliminary definitions of the development model and approaches to guidelines.
3. Determination of any important new consortium characterisitcs that were realized.
4. Notation of specific examples of development situations that could be cited anonymously in the guidelines report.

This rather extensive post-visit analytical activity helped to ensure that the guidelines were based--to the fullest possible extent--on comprehensive and valid information and experience.

C. TASK 3: DESCRIPTION OF CONSORTIUM CHARACTERISTICS

For the purpose of providing a meaningful method of presentation, we divided these varous elements into the following information categories:

- Purposes and Objectives
- Organization and Staffing
- Cooperative Functions
- Support
- Evaluation and Measurement
- Patterns of Development

Our original intention was to present information under each of these headings as part of this Final Report. However, as our analysis of the data progressed and more results of our survey and interviews became available, it seemed more useful to integrate information in the above categories into the categories developed for the Guidelines document. In this way, we could present descriptive and prescriptive information together, giving support for our recommendations with each item of guidance we provided. Therefore, information in the original categories may be found in the Guidelines document (see Appendix 2 for Table of Contents), as indicated below:

- Purposes and Objectives: Planning Phase, Step. 1.
- Organization and Staffing: Planning Phase, Step 2; Development Phase, Step 2.
- Cooperative Functions: Chapter 111, Description of Consortium Activities.
- Support: Planning Phase, Steps 4 and 5.
- Evaluation and Measurement: Operation and Evaluation Phase.
- Patterns of Development: Introduction, Chapter I.

D. TASK 4: DEVELOPMENT OF MODEL AND GUIDELINES

At the end of the series of interviews, SDC staff members had collected 1500 pages of typed tape transcriptions, representing interviews with 58 people in the 15 consortia. This body of interview data was used in combination with the data from the Phase 1 survey and with the available literature as a basis for the development of the Guidelines document. Sections of the 1500 pages from the interviews were classified into various categories on the basis of the developmental step being discussed, and from these categories the first draft of the Guidelines was produced. Construction of a developmental model for academic library consortia proceeded concurrently with the drafting and revision of the Guidelines document. As we learned more from our collected data, it became clear that no one model could be built at this time that would incorporate all the complexities and variations encountered. We therefore built a series of models to illustrate these complexities and variations. These models, accompanied by a discussion of our findings, appear in Section IV of this report and in the Introduction to the Guidelines document.

Once the Guidelines were drafted, it was possible to correlate the contents of each step description with statistical material drawn from the Phase 1 survey. As questions were raised by the interview data, they could be examined and, at times, resolved by careful analysis of the survey data. In those instances where we could not recommend any of the procedures used by the various consortia, we made our recommendations on the basis of an application of well-recognized principles of system analysis and project management.

After an internal review and revision process, the draft was sent to five project consultants for review:

Dr. Martha Boaz, Dean of the School of Library Science
University of Southern California

Dr. Donald Dividson, University Librarian
University of California at Santa Barbara

Dr. William Paisley
Institute for Communications Research
Stanford University

Dr. Ralph Parker, Dean of the
School of Library Information Science
University of MIssouri

Mr. Allen Veaner, Assistant Librarian for
Bibliographic Services
Stanford University

In the accompanying letter, the consultants were given the following instructions:

> "Please write your comments on the text, and return it to us with any additional comments you might care to make. We would appreciate your comments on:
>
> 1. Interpretations we have made, or advice we have given, with which you disagree;
> 2. Fuzzy concepts that need clarification;
> 3. Things omitted that should be added;
> 4. Your overall evaluation of the potential usefulness of the document, and what could be added to make it a better document."

The five consultants returned their review cpoies with many helpful comments; their suggestions were carefully evaluated and, where possible, incorporated into the document. Helpful comments were also received from three faculty members of the Universtiy of California, Berkeley:

1. Dr. Raynard C. Swank, Professor of Librarianship
2. Dr. Patrick Wilson, Dean of the School of Librarianship
3. Dr. Lotfi Zadeh, Professor of Electrical engineering and computer sciences

E. TASK 5: PREPARATION OF PHASE II REPORTS

The formal reports required as part of the Phase 11 activities of the project consisted of a Progress Report, which was submitted to USOE on 5 August 1971, and this Final Report. The Guidelines for the Development of Academic Library Consortia, the major product of Phase II, is being submitted as a separate volume accompanying this report.

IV. SURVEY FINDINGS

A. RANGE AND SCOPE OF CONSORTIUM ACTIVITIES

Figure 4 is a composite model of a consortium and illustrates 14 major characteristics (e.g., type, area served, headquarters, etc.) by which academic library consortia can be described. Every academic library consortium can be described in terms of these characteristics. Staffing level, although an important variable, has not been listed as a characteristic, since it is highly interrelated with several other characteristics already listed, such as the existence of a centralized headquarters and the consortium budget level. Figure 5 presents consortia models that are based on the characteristics of "type" and "headquarters." The model shows the configurations of library consortia that are either a member of a higher level education consortium or an independent entity, and are either with or without a centralized headquarters. These structures are discussed in greater detail in Chapter II of the Guidelines for the Development of Academic Library Consortia.

In order to provide a manageable task, this study of library consortia had been initially limited to only those consortia which were predominately academic. Indeed, the SDC survey, the case studies, and the literature on the topic of consortia (and networks) have revealed that the interrelationship of academic consortia--as well as academic libraries--is extremely complex. Figure 5 illustrates the interrelationships that we encountered. For example, Library A is a member of an education consortium, Consortium 2, the libraries of which are engaged in only one cooperative activity: the development of a specific subject area. Library A is also a member of an academic library consortium, Consortium 1, that is in the process of providing extended interlibrary loan and reciprocal borrowing privileges, as well as considering other possible activities. Finally, Library A is also a member of an academic library consortium, Consortium 3, that is concerned with centralized technical processing. Furthermore, Library A has had the option (selected by one of its sister libraries) to be a member of Consortium 5, which consists of academic and public libraries. In the meantime, Consortium 3 is in the process of negotiating with Consortium 4, in order to benefit from the latter's recent developmental accomplishments.

TYPE

- Member of Higher Level Educational Consortium
- Independent Entity

AREA SERVED

- City
- Region
- State
- Interstate

HEADQUARTERS

- Centralized Headquarters
- No Centralized Headquarters

OBJECTIVES

- Improved or Increased Service*
- Decreased Cost*

STAGE OF DEVELOPMENT

- Planning Stage*
- Development Stage*
- Operational Stage*

FUNDING SOURCE

- Funding by Dues or Fees*
- Funding by Grants*
- Funding by Contributed Resources*

FUNDING LEVEL (ANNUAL)

- $30,000 or less
- 31,000 to 70,000
- 71,000 to 110,000
- 110,000 to 150,000
- over $150,000

TYPE OF AGREEMENT

- Legal Agreement
- Informal Agreement

RULES FOR PARTICIPATION

- Rules for Participation
- No Rules for Participation

COMPUTER USAGE

- Has Computer
- Uses Univereity Computer
- Uses Service Bureau
- Does not Use Computer

MEMBERSHIP COUNT

- 10 or Fewer Members
- 11 to 20 Members
- 21 to 30 Members
- Over 30 Members

ACTIVITIES

- Physical Resource Sharing (reciprocal privileges)*
- Cooperative Policies (acquisition, etc.)*
- Information Services*
- Centralized Processing*
- Other*

DIRECT SERVICES FROM HEADQUARTERS

- Direct Services to Faculty*
- Direct Services to Graduates*
- Direct Services to Headquarters*
- Direct Services to Others*

LEADERSHIP

- Full-time Director
- Part-time Director
- No Director

*Not mutually exclusive

Figure 4. Composite Consortium Model

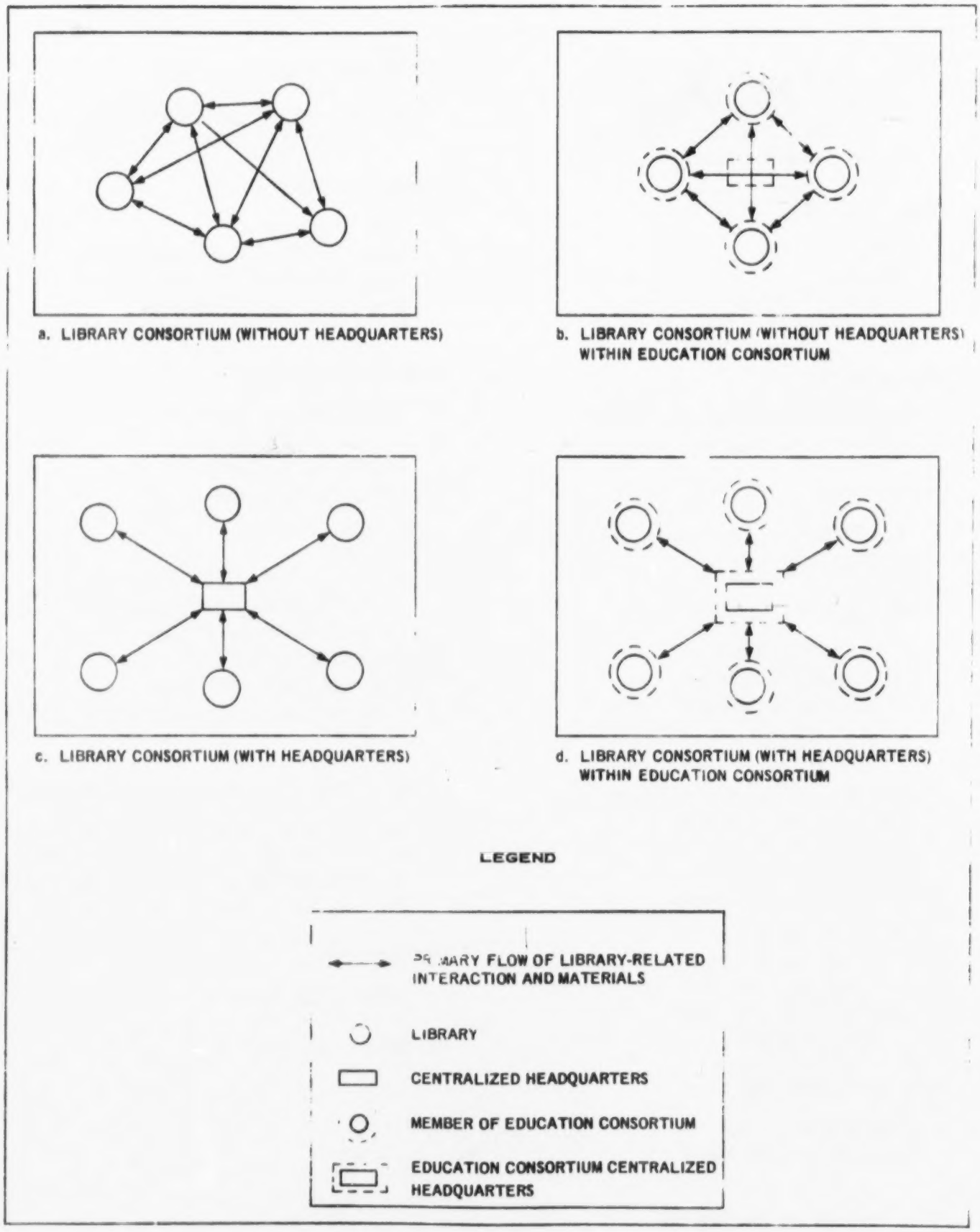

a. LIBRARY CONSORTIUM (WITHOUT HEADQUARTERS)
b. LIBRARY CONSORTIUM (WITHOUT HEADQUARTERS) WITHIN EDUCATION CONSORTIUM
c. LIBRARY CONSORTIUM (WITH HEADQUARTERS)
d. LIBRARY CONSORTIUM (WITH HEADQUARTERS) WITHIN EDUCATION CONSORTIUM
LEGEND
PRIMARY FLOW OF LIBRARY-RELATED INTERACTION AND MATERIALS
LIBRARY
CENTRALIZED HEADQUARTERS
MEMBER OF EDUCATION CONSORTIUM
EDUCATION CONSORTIUM CENTRALIZED HEADQUARTERS

Figure 5. Simplified Model of Library Consortia Structures

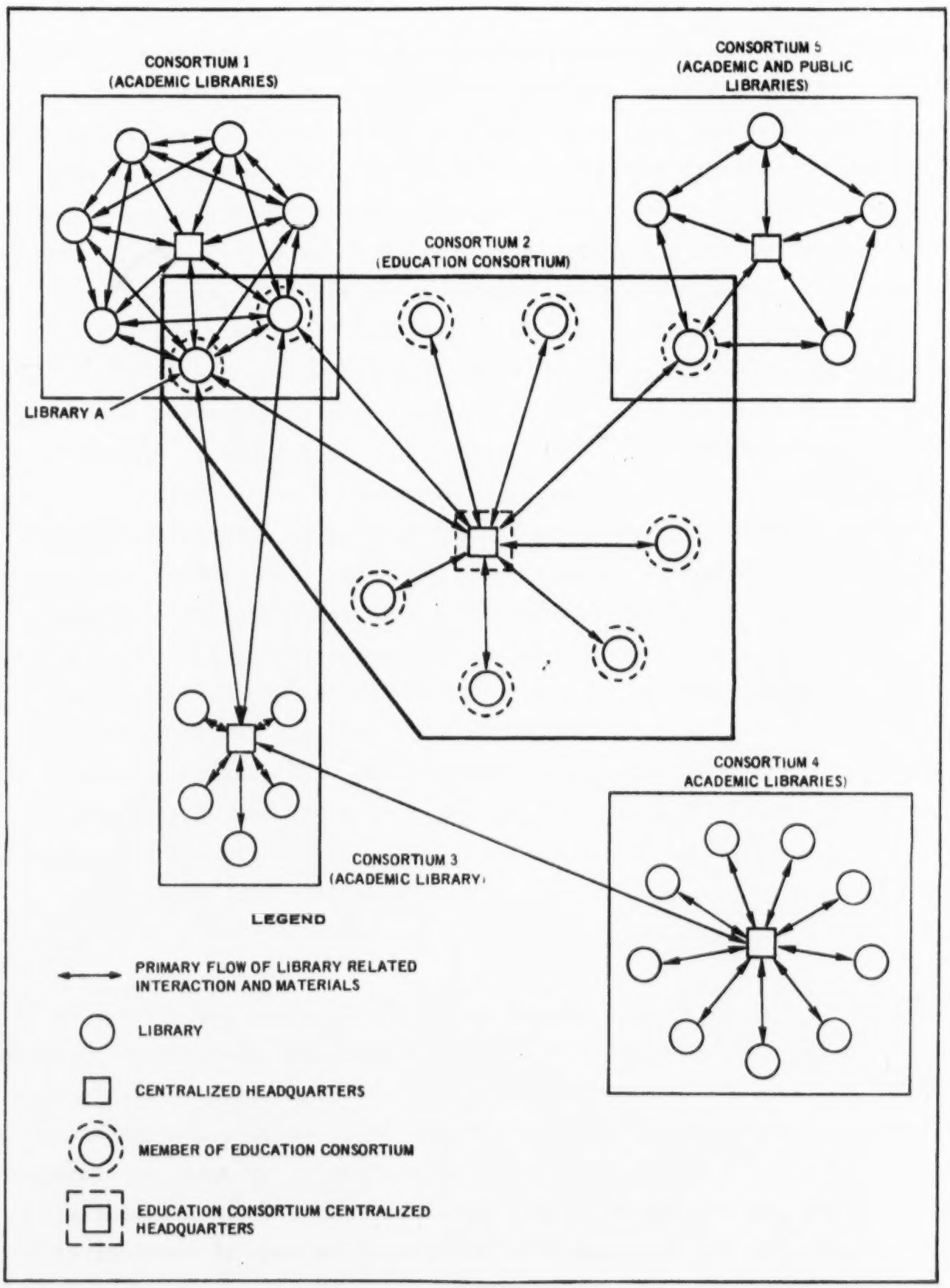


Figure 6. Possible Interrelations of Libraries and Consortia (Simplified)

What we have described is a snapshot picture, and the consortia of the case studies (and probably the rest) are constantly in a state of flux, i.e., considering new activities and new cooperative arrangements for mutual benefit. Indeed, the library community is showing its awareness of the enormity and complexity of the area of cooperation. Library schools are beginning to teach classes on this subject at the master's level, and to offer seminars at the doctoral level. In addition, ALA has jointly sponsored a conference on the topic of interlibrary communications and information networks. The number of academic library consortia will no doubt grow as a result of the continuing establishment of education consortia, of which libraries are then an important component. If voluntary cooperation does not occur, mandatory coordination may result. In fact, an important study finding is the current lack of coordination among consortia. Many of the librarians did not know of consortia developments outside their own area. One library consortium director strongly felt the need of national leadership in coordinating what has developed from this grass roots movement, in order to bring to fruition the electronic national library networks that have been forecast since the EDUCOM conference. As potential candidates for leadership he suggested the newly formed National Commission on Libraries and Information Science, EDUCOM, or the Library of Congress. Furthermore, the efforts of academic library consortia have to be considered in relation to our library consortia (e.g., special, public, mixed), as well as to state plans such as the one being proposed for California.

Faint glimmers of developing into networks of national scope can already be seen. For example, in one consortium, several theological libraries have found it beneficial to merge their resources. Instead of being small libraries with small collections, the merged library is now the third largest theological library in the country. This new library is working on cooperative arrangements with a large state university, as well as a large private university; it is also considering the development of a national network of theological libraries. This example is only one highlight of exciting possibilities that exist.

However, a note of caution must be introduced, and a closer look taken at the actual accomplishments of existing consortia. Although the following statement has been made in relation to education consortia, it pertains to library consortia as well.

> "The notion is that little or no additional operational costs are required for cooperative programming. However, if a particular program requires little or no additional resources, the significance and/or peripheral nature of that program is questionable. To state the point bluntly, interinstitutional programs are not developed and administered without an investment of manpower, money, and other resources whether they are centralized or decentralized. This is recognized in Title III (Higher Education Act, 1965) by the allowance of 15% for indirect (overhead) costs." (1)

In Table 2, we indicate the extent to which academic library consortia are engaged in consortium activities. Judging from these statistics and from the case studies, the activities most frequently engaged in are: the production of union catalogs or lists, and the sharing of resources (library staff, as well as materials). Resources are jointly developed, then added by external funding. Except for the latter activity, most of the activities can be characterized as seemingly low-cost, low-compromise, and high-benefit, with identifiable and tangible results. Most of the librarians interviewed were enthusiastic about their accomplishments and felt that their consortium was successful. Even several who were not satisfied with the consortium of which they were members, spoke highly of cooperation and, although a few had withdrawn from one consortium, they were involved in--or planning to establish--another one better suited to their needs.

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(1) Patterson, Lewis D., Consortia in American higher education, Report 7, November 1970, ERIC Clearinghouse on Higher Education, Washington, D.C., 1970, p. 6.

TABLE 2. LIST OF LIBRARY CONSORTIUM ACTIVITIES

Activity	Number of Consortia Currently Operating Activity	Percent	Number of Consortia Planning or Developing Activity	Percent
Reciprocal borrowing privileges	97	78	4	3
Expanded interlibrary loan service	80	64	9	7
Union catalogs or lists	78	62	24	19
Photocopying services	72	58	11	9
Reference services	50	40	16	13
Delivery services	44	35	14	11
Mutual notification of purchase	40	32	23	18
Special communications services	35	28	12	10
Publication program	34	27	14	11
Catalog card production	34	27	12	10
(Other) Cataloging support	33	26	18	14
Joint purchasing of materials	30	24	29	23
Assigned subject specialization in acquisitions	28	22	33	26
(Other) Acquisitions activities	22	18	21	17
Microfilming	21	17	9	7
Central resource or storage center	21	17	11	9
Bibliographic center	17	14	16	13
Joint research projects	17	14	18	14
Clearinghouse	15	12	13	10
Personnel training	15	12	21	17
User orientation programs	14	11	13	10
Other	9	7	6	5
Bindery services	7	6	4	3
Recruitment programs	6	5	5	4

Criticism levied against individual librarians still pertains when libraries join together to work as a larger unit. There exists evidence of lack of

- Sufficient planning
- Quantitative analysis
- Assessment of user needs

This study has revealed that consortium arrangements are highly beneficial; however, librarians undertaking cooperative activities should be fully aware of the difficulties involved. The Five Associated University Libraries (FAUL) consortium, which the SDC interviewers have felt to be successful, made the following statement:

> "The greatest lesson the Committee as a group has learned has been to realize the fantastic complexity involved in the most simple inter-institutional act. Each project interlocks in some way with every other project and the effects are not always clear. Accurate and timely communication is of utmost importance; procedures must be minutely but simply contrived, and deadlines met. Member libraries must be able to formulate responses to proposals quickly and the right staff people should be committed to projects and given enough time to work on them.
>
> "The difficulties presented by the geographical dispersion of the committee members make frequent meetings a real hardship both in terms of time and travel fund drain. To make the group work well through frequent personal contact is the greatest stimulator of ideas and should be continued.
>
> "The personal problems Committee members had in maintaining local performance and doing valuable Committee work were in some cases severe. FAUL work is viewed as overload. This means that FAUL projects necessarily become secondary to local job pressures. The only alternatives to alleviate this is to spread the work, reduce it, or increase the manpower available in the FAUL Central Office."(1)

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(1) Five Associated University Libraries, Interlibrary access: a two-year report of the FAUL access committee, Five Associated University Libraries, Syracuse, 1968-1970. p. 30.

B. FINANCIAL SUPPORT

The funding levels of the 47 consortia who reported their budgets are presented in Table 3. The mean of the budgets is $75,000. Fifty percent of the respondents (18% of the total consortia) reported that they operate on budgets of less than $75,000.

Interestingly enough, 54 percent of the consortia report that they have no formal budget. Judging from the sample, members of consortia that have no identifiable budget carry out cooperative activities with their regular staff and do not know how much the activity is actually costing.

The 125 library consortia in the survey were asked how many years in advance they could accurately predict (within about 10 percent) the consortium's operating budget. Their responses are summarized in Table 4. Sixty-one (78 percent) of the people who answered this question indicated that they could not predict the operating budget in advance, or for more than 1 year. Some of the reasons given were:

--The legislature usually passes the current operating budget in the current fiscal year.
--We aim at targets of opportunity within the constraints of existing library funds.
--Funding source has an uncertain budget.
--None of us has been gifted with prophetic powers.
--No funds are involved.
--Federally funded.
--Programs cannot always be definitely scheduled for more than a year in advance.
--Given the present economic conditions and resultant plight of educational institutions, budget predictions are difficult.
--Grants are unpredictable.

TABLE 3. CONSORTIA FUNDING LEVELS

SIZE OF OPERATING BUDGET (DOLLAR)	NUMBER OF CONSORTIA IN INTERVAL	PERCENT
Less than 15,000	11	9
15,000 - 30,000	3	2
30,001 - 45,000	5	4
45,001 - 60,000	4	3
60,001 - 75,000	2	2
75,001 - 90,000	2	2
90,001 - 105,000	1	1
105,001 - 120,000	2	2
120,001 - 135,000	5	4
135,001 - 150,000	1	1
150,001 - 165,000	0	0
165,001 - 180,000	2	2
180,001 - 195,000	1	1
195,001 - 210,000	0	0
210,001 - 225,000	1	1
Greater than 225,000	7	6
No Answer to Questionnaire Item	78	58

TABLE 4. CONSORTIUM OPERATING BUDGET ADVANCE PREDICTION TIME

PERIOD OF TIME IN ADVANCE THAT BUDGET CAN BE PREDICTED	NUMBER OF CONSORTIA	PERCENT
5 Years	1	1
4 Years	1	1
3 Years	2	2
2 Years	11	9
1 Year	31	25
6 Months	2	2
3 Months	2	2
Other	2	2
Can't be Predicted	26	21
No Answer to Questionnaire Item	47	38
Total	125	

--Budget is subject to annual submission and passage (from a theological consortium).
--Consortium is too new.

Closely related to the problem of determining how much financial support is required is determining the source of the money. The two major types of funding are internal, coming from the consortium members, and external, coming from the Federal, state, or municipal government or from foundations.

Internal funding is obtained from dues paid by members, from fees for services or products, or both. Dues and fees as sources of funds are described below.

1. Dues. Dues from member libraries or ther parent institutions are the major funding source for approximately 42 percent of the total funds for 61 responding consortia (see Table 5.) Membership dues vary with the consortium in a range of from $25 per member (to cover postage and stationery) to $10,000 (to cover research and development of computerized library systems). Members may be charged equal dues, especially if the member institutions are of equal size or have equal financial support. In cases where institutions represent diverse financial considerations, an alternative is to use a formula, e.g., a percentage of the book budget.

   One drawback of the formula system is that larger institutions pay a larger fee, and in many cases also contribute a larger amount of the resources being shared. They may thus expect greater consideration in the selection of projected consortium activities.

2. Fees. In some kinds of consortia, members are charged fees for services or products. For example, for shared cataloging, members might be charged on the basis of the use of the central file for cataloging

TABLE 5. SOURCE OF MAJOR FUNDING(1)

SOURCE	APPROXIMATE PERCENT OF TOTAL FUNDING
Dues from member libraries or their parent institutions	42
Service fees from member libraries or their parent institutions	10
Service fees from individual users	2
Gifts	3
Continuing government appropriations (Federal, state, and local)	28
Nongovernmental grants	1
Other	14

(1) 61 out of 125 consortia responded to this question.

information; for technical processing, the charge might be based on the number of catalog card sets produced. One problem with this method is that funding is required to keep the activity in operation until the fees are received. (As shown in Table 5, service fees from member libraries or their parent institutions represent 10 percent of the source of funds for the 61 consortia who responded to this question; service fees from individual users represent 2 percent.

3. Combined. Only 5 of the 125 library consortia indicated that their funds are based on dues paid by members as well as fees for services or products.

External funding is obtained through Federal, state, or municipal support. In addition, a library consortium may receive some money from a larger educational consortium of which it is a member; this money might consist of Title IIIC funds, or of dues charged by the parent institution. Since library budgets are usually the first to be cut in a recession, many libraries are cooperating because of economic necessity, and some of these consortia could not have been started without government assistance. In addition, many of the larger cooperative research and development projects could not have been undertaken without external funding. Although external funding can be of great use to a consortium, note that only 32.9 percent of all the funding for the 61 responding consortia is external. The general feeling among librarians interviewed was that it was unwise to rely solely on external funding.

One consortium member was extremely proud of the fact that all their funding was internal, since he felt it was easy to cooperate on someone else's money. In another consortium, one librarian felt that if Federal funding were to stop, they would not be able to continue operating, inasmuch as librarians could not contribute money to consortium activities because of reduced budgets.

In yet another consortium, members found it easier to cooperate when the project was externally funded. When funding stopped and they were expected to support the project from their own budgets, they examined the benefits and costs closely, becoming more critical of the project than previously.

C. EVALUATION OF CONSORTIUM OPERATIONS AND BENEFITS

Evaluation is, or should be, an important part of any cooperative's work. In the questionnaire survey of 125 academic library consortia, library consortia directors or chairmen were asked to indicate which techniques they used to evaluate the effectiveness of their library consortium activities. As shown in Table 6, the most often used evaluative technique consisted of informal feedback from library personnel participating in consortium activities (66 percent), and from the ultimate users of services (49 percent). More formal methods of evaluation were less frequently used: for example, analyses of cost and usage statistics (29 percent); formal surveys of operations at the participating libraries (21 percent); operations research analyses such as work flow, cost effectiveness tradeoffs, etc., (13 percent). and formal surveys of the ultimate users of consortium services (10 percent). During the in-depth studies, it was possible to gain better insight into how these various methods of evaluation were used, which activities they were most often used for, and how well they worked, as well as some feeling for ways in which their use could be improved.

As in the questionnaire, informal feedback was the evaluative method most often used. Informal feedback is difficult to define: it could mean that a certain number of users were satisfied with a particular consortium service and expressed this satisfaction to the librarians; it could also refer to a certain number of librarians who were satisfied or dissatisfied with a service, and took the time to make their feelings known. However, informal feedback does not necessarily account for people who could be using the service but are not, because they do not know it is available, or because the service may not really be meeting their needs.

TABLE 6. TECHNIQUES USED BY CONSORTIA TO EVALUATE ACTIVITY EFFECTIVENESS

EVALUATION TECHNIQUE	NUMBER OF CONSORTIA USING TECHNIQUE(1)	PER-CENT
Informal Feedback from Library Personnel Participating in Consortium Activities	82	66
Informal Feedback from the Ultimate Users of Services	61	49
Analyses of Cost and Usage Statistics	36	29
Formal Surveys of Operations at the Participating Libraries	26	21
Operations Research Analyses (e.g. Work Flow, Cost Effectiveness Tradeoffs)	16	13
Formal Surveys of the Ultimate Users of Consortium Services	13	10
Other	5	4
No Answer to Questionnaire Item	33	26

(1) Many consortia used several evaluation techniques.

Feedback is necessary and can greatly aid the evaluation and eventual improvement of any library consortium activity; however, it is important to ensure that feedback will be collected systematically, that it will reach the proper people, and that something be done about it. Librarians or system designers engaged in consortium activities can obtain feedback from records of the extent to which any activity is used, surveys of users and librarians, and continuous review of cost and benefits. For example, consider a consortium objective such as sharing resources, which is usually achieved by means of expanded interlibrary loan and reciprocal borrowing privileges. The members of several consortia in the sample who had recorded the usage figures were able to state that interlibrary loan circulation among members had increased as a result of consortium agreements. Other consortia had not kept these kinds of records, but intuitively felt that interlibrary loan among members had increased. With regard to reciprocal borrowing privileges, we did not encounter any consortia that systematically kept records of the extent to which this new service was being used. Here again, as in the case of expanded interlibrary loan, the librarians' intuitive feeling was that it was working well, and that users were satisfied. Although it may be too expensive to provide continuous monitoring of usage for certain activities, a representative sampling of usage statistics would facilitate an evaluation of the added costs and benefits.

Several consortia evaluated the benefits of the increased library resources now available to users by totalling the collections of all the member libraries. It may be impressive to state that the user now has access to X thousands of volumes, but the relevant question is, "Are these the resources the user needs, and is he using them?"

The more formalized methods of evaluation such as analyses of cost and usage statistics, formal surveys of operations of the participating libraries and of users of consortium services, and operations research analyses, were most often used by consortia engaged in large-scale computerized

activities. This evaluation was sometimes carried out by a consultant, or by the centralized headquarters consortium staff, as an evaluation performed by outsiders could understandably be a possible cause of dissension. One consortium's solution was to have each library staff see and approve any statistics collected at their library.

In addition to evaluating the effectiveness of particular consortium activities, consortia need to make an overall evaluation of how well they are meeting their objectives. Most of the consortium members interviewed felt that their consortium was successful, as judged by some of the following criteria:

1. Present members remained in the consortium and continued to contribute time or money.
2. New members were joining the consortium.
3. The consortium was able to obtain Federal or other external funds.
4. The consortium was able to survive without external funds, or after external funds had ceased.
5. Consortium activities were providing new and/or improved services for the library users.
6. Costs had been reduced.

However, the success of several of the consortia in the sample could be questioned. In one case, the consortium had been formed primarily to be eligible for Federal funds; when the funds ceased, the consortium had no money to undertake any new projects. Another consortium was achieving its stated objective in that the intended services were being provided; nonetheless, considerable dissension exists among the members in that they have not been allowed enough involvement in decision-making on crucial matters, and that they question the value of benefits received. Whether this consortium will continue

is yet to be decided. The future success of several other consortia is also to be determined, but their outlook is more promising. These are the consortia engaged in large-scale computerized activities and undergoing a transition from research and development to a fully operational environment.

The SDC questionnaire survey and the in-depth case studies indicated that the evaluation of consortia and consortia activities is not extensive. The survey also indicated that 54 percent of the consortia have no identifiable budget. One likely interpretation is that librarians are participating in consortium activities in addition to their regular library activities. Thus the time and money they have to plan, to develop, and to evaluate consortium activities is limited. At the end of a long, 4-1/2-hour interview, we thanked one of the librarians for the time he had spent with us and for his thoughtful answers. He said that he had enjoyed the interview because of the opportunity it had given him to reflect; in the rush of day-to-day activities, he had no time to do this. Several of the other librarians said that the questions were a good evaluation exercise and enabled them to reexamine the consortium activities. Although time may be limited--and, in fact, especially because time may be limited--it is vitally important that librarians make a careful evaluation of the costs and benefits of cooperative activities. By doing so, they will help not only themselves but also the many libraries in the Nation that might benefit from cooperative activities and that lack only the necessary descriptive and evaluative information to appraise their alternatives and take the next steps.

D. OTHER FINDINGS OF THE STUDY

This section of the Final Report has touched only on some of the many aspects of consortium activities explored in the full SDC study. For a much more complete picture of these activities and their implications for the development of new consortia, the reader is referred to the Guidelines for the Development of Academic Library Consortia.

V. DISSEMINATION OF FINDINGS

A. LIAISON WITH THE LIBRARY COMMUNITY

Throughout the project we have had numerous requrests for information about the scope of work being performed and results of the analysis being conducted. We have answered every letter and have endeavored to supply all the information requested. In addition, through correspondence with state librarians and the various consortia being studied, project activities have been made known to all who have inquired.

Two requests for talks were received in November 1971, one for the ALA Midwinter meeting in Chicago, in January 1972, and one for the Rochester Regional Research Library Council, in June 1972. The talks will be given by the SDC Project Director and/or Assistant Project Director.

B. PUBLICATION OF PROJECT MATERIALS

Hundreds of persons have requested copies of the Directory and of the Guidelines. For that reason, after conferring with USOE, it was decided to solicit the interest of a commercial publisher so that the Directory and the Guidelines could be made widely available. Seven publishers were contacted with regard to the Directory. Two of them made firm expressions of interest, and they were subsequently invited to review the Guidelines for possible publication. A deadline of December 13, 1971 was set for bids from the two publishers. After these bids are received, SDC will make a recommendation to USOE and thereafter assist the selected publisher in effecting timely distribution. Completion of the publication arrangements will mark the completion of the project.

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APPENDIX B

ABSTRACT AND TABLE OF CONTENTS, GUIDELINES FOR THE DEVELOPMENT OF ACADEMIC LIBRARY CONSORTIA

This document is one of the products of the Study of Academic Library Consortia conducted by System Development Corporation under contract to the U.S. Office of Education. The purpose of the Study was to make available information on the activities of various academic library consortia and to provide guidance for libraries that are forming or planning to form consortia.

Phase I of the Study comprised two questionnaire surveys aimed at identifying and listing all academic library consortia in the United States. Data from the questionnaires were compiled in a Directory of Academic Library Consortia. Phase II of the Study involved a case-study analysis of 15 selected academic library consortia. Data were gathered by means of field interviews and were combined with the survey data to produce this document, Guidelines for the Development of Academic Library Consortia.

This Guidelines document presents and discusses the developmental steps required in establishing a consortium and, where possible, provides criteria for the many decisions that must be made. Consortium development is divided into four phases:

- Exploratory Phase: Involves activities aimed at deciding whether to establish an academic library consortium
- Planning Phase: Includes the selection and approval of objectives, program plans, financial support, and organizational structure
- Development Phase: Includes all design and development tasks for consortium activities
- Operation and Evaluation Phase: Includes the operation of consortium activities and the evaluation of consortium performance.

A total of 24 developmental steps are grouped under the four phases of consortium development listed above. The information included under each step is a combination of descriptive material--discussing the various ways in which the step has been accomplished by various consortia--and prescriptive material--prescribing ways of accomplishing the step that seem most desirable in the light of the evidence gathered during the study.

A careful perusal of this Guidelines document will enable a potential consortium to determine the most likely path for its group development efforts.

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